

12/29/01

CPAF EVALUATION PLAN

1. Purpose of the Cost Plus Award Fee (CPAF) Evaluation Plan

The purpose of this section is to establish the process for evaluating the contractor's performance in the areas of technical achievement, technical management, and business management. For the first evaluation period, the contractor will also be evaluated on the timeliness and quality of the project startup deliverables required in the Statement of Work. Subsequent evaluation periods will not include the project startup evaluation criteria. The points allotted to this activity will be redistributed by adding 5 points to criteria B-1 and B-2 and 5 points to criteria C-2 and C-3.

Since the overall purpose of the CPAF mode of contracting is to encourage maximum performance by the contractor, all evaluations will be conducted with this endpoint in mind. NIOSH will attempt to make the evaluation constructive in nature and will direct any comments toward the improvement of operations so that they achieve conformance with Government objectives and requirements.

2. Award Fee Mechanism

The award fee evaluation will be conducted semiannually at the NIOSH offices in Cincinnati. It will be based on an evaluation of the contractor's performance by the NIOSH fee evaluation board which will consist of the following individuals or designees:

Director, Division of Applied Research and Technology (DART), Chair

Director, Division of Surveillance, Hazard Evaluations and Field Studies (DSHEFS)

Director, Division of Respiratory Disease Studies (DRDS)

Director, Health Effects Laboratory Division (HELD)

The board will evaluate performance based on the contractor's summary report of activities and accomplishments during the award fee period, presented at the CPAF meeting, and on the Board's independent review of the contractor's performance. This review will consider input from a number of sources, including interviews with the Contract Officer, the Project Officer and NIOSH technical and records management staff. The Board's evaluation will be made by rating the contractor's startup performance (first evaluation period only), technical performance, technical management, and business

management as described in Section III. Although the evaluation criteria are assigned numerical point values, the Board is the absolute authority and may assign points at their discretion, including extra points for outstanding effort, such as expedited DOE facility record evaluations or the development of new methods that improve claims processing efficiency. The total allotted points, however, will not exceed 100 points.

3 Evaluation Criteria and Suggested Points Values

<u>Evaluation Criteria</u>	<u>Points</u>
A. Startup Activities	20
1-1 Timeliness of startup deliverables (10)	
Quality of startup deliverables (10)	
B. Technical Performance	35
Accuracy and completeness of dose reconstructions (15)	
Characterization of DOE exposure environments (10)	
Project quality assurance and control (10)	
C. Technical management	30
C-1 Management commitment (10)	
Efficiency of claims processing (10)	
Completeness, timeliness and quality of technical reports (10)	
D. Business management	15
D-1 Business operations (5)	
D-2 Cost management (5)	
D-3 Organizational commitment (5)	

Upon completion of the Board's evaluation, the Board's chair will verbally provide the contractor a summary of the Board's view of the contractor's performance throughout all of or a significant portion of the performance period. Specific examples will be used for clarification and

emphasis

Subsequent to the CPAF meeting, the Contracting Officer will inform the contractor in writing of the amount of the award fee.

Description of the Evaluation Criteria

A Startup activities 20 points

A-1 Timeliness of startup deliverables (10 points)

NIOSH will review the timeliness of the contractor's submission of project startup deliverables specified in the statement of work. These include:

- Development of a case file tracking system within 30 days of award (Scope of Work, section 1.3);
- Development of supporting documentation for the research database, which includes a description of the overall design, security protocols and definitions of variables, within 30 days of award (Scope of Work, section 1.4);
- (3) The establishment of a toll free telephone line to address inquiries from claimants within 30 days of award (Scope of Work, section 3.4);
- (4) Completion and documentation of internal dose assessment software training for members of the technical team who perform dose reconstructions within 30 days of award (Scope of Work, section 4.2); and,
- (5) Development and implementation of a project quality assurance program within 90 days of award (Scope of Work, section 5.2.2).

-2 Quality of startup deliverables (10 points)

The deliverables described above will be evaluated for the degree to which they meet the needs of OCAS's dose reconstruction responsibilities. Databases will be evaluated for factors such as level of security, design flexibility, ease of use, and compatibility with the NIOSH in-house systems. The completeness, organization and usefulness of supporting documentation provided to NIOSH will also be reviewed.

2. Technical performance 35 points

B- Accuracy and completeness and dose reconstructions (15 points)

NIOSH technical staff will read and sign all dose reconstruction reports prepared

by the contractor. Using NIOSH approved technical manuals and procedures as a guide, a sample of these reports will undergo a more rigorous review by a NIOSH health physicist for completeness and accuracy. In addition, NIOSH intends to conduct duplicate, double blind dose reconstructions for selected cases. Where discrepancies are observed, NIOSH will provide a report in writing to the contractor that describes the observations. Performance in this category will be based on the results of these reviews.

Characterization of DOE and AWE exposure environments (10 points)

The technical completeness and adequacy of the contractor's research into the characterization of DOE's radiation exposure environments will be evaluated. Based on a review of reports provided to NIOSH, a judgement will be made as to the thoroughness and applicability of the contractor's research program to characterize both the DOE and AWE workplace environment. The review will focus on the extent to which the results of this research can be used to supplement a claimant's dose reconstruction.

Project quality assurance and control (10 points)

The extent to which project quality control is implemented in accordance with approved plans will be evaluated. This applies to quality control activities over all aspects of the project, including records receipt and storage, records imaging, data entry, database integrity, dose reconstruction calculations and report preparation. Also included in this analysis is the extent to which the contractor independently identified areas for improvement and implemented effective corrective actions. Record keeping is an important part of the quality control program. Examination of these records will provide a large part of the basis for judging performance in this area.

3 Technical Management 30 points

C-1 Management Commitment (10 points)

Management commitment will be evaluated through a review of all activities conducted during the evaluation period. This section of the evaluation will assess initiative, cooperation, communication, and timeliness in overall technical management. While all aspects of technical management will be reviewed, emphasis will be placed on the implementation of new or novel strategies that result in improved accuracy and efficiency of processing claims.

C-2 Efficiency in claims processing (10 points)

The implementation and continued development of measures to ensure the efficient processing of claims will be evaluated. This will include all aspects of

the process including, but not limited to, claims receipt, scanning , filing, correspondence with claimants, issuing requests to DOE and generation of dose reconstruction reports. Emphasis will be placed on the use of innovative techniques or procedures that expedite processing without sacrificing effective communications with claimants or the technical quality of the dose reconstruction effort. The extent to which the turnaround time for various categories of claims decreases over the performance period will be considered in this evaluation.

C-3 Completeness, timeliness and quality of technical reports (10 points)

The dose reconstruction statement of work requires the contractor to perform periodic updates of databases and to provide NIOSH with various technical reports as work progresses. The contractor's performance will be evaluated for completeness, timeliness and accuracy in each of the following areas:

- (1) Update the NIOSH SQL server database with newly obtained site exposure information on a daily basis (Scope of Work, section 1.1);
Abstract and enter into the NIOSH database any additional claimant or SEC petition information on a weekly basis;
Report to NIOSH on a monthly basis any delays in obtaining dose reconstruction information from the DOE (Scope of Work, section 2.1.4);
Provide to NIOSH reports of dose reconstruction interviews on a weekly basis (Scope of Work, section 3.2); and,
- (5) Produce and submit to NIOSH reports summarizing methods, data sources, and findings of research on facilities on a mutually agreed upon frequency.

4. Business Management 15 points

D- Business Operations (5 points)

Management of business operations will be evaluated for procurement, personnel, and overall business management and contract compliance. Procurement will be evaluated for the effectiveness and compliance of purchasing policies, practices and procedures with emphasis placed on awards to small and disadvantaged business. The personnel evaluation will consider compliance with personnel policies and procedures, labor relations , and Equal Employment Opportunity compliance. Overall business management and contract compliance will consider timely, accurate, and complete business and cost reports; effectiveness of the contractor's business management practices; comprehension of the contract's business requirements at all management levels; property control and administration; overall management response to the needs of the Government; compliance with the terms of the contract; and completeness and speed of response to the Contract Officer's inquiries.

D-2 Cost Management (5 points)

The contractor will be evaluated in the area of cost management, including the use of resources and the variance between the negotiated amounts and rates versus actual amounts and rates. Particular attention will be placed on the control of labor and other direct charges. All areas of cost will be evaluated, including labor, overhead, G&A, materials, travel and equipment. The contractor shall provide reasons for variances between actual and negotiated costs. Information shall be provided on measures the contractor has taken to reduce overall cost to the Government.

D-3 Organizational Commitment (5 points)

Middle and upper management will be evaluated for their success in meeting the needs of NIOSH. Commitment can be demonstrated by acquiring and maintaining appropriate facilities and equipment, cross-training of personnel, the ability to hire and retain qualified personnel, and the ability to perform difficult tasks in a timely and cost-effective manner.

DEFINITION OF RATINGS

Excellent (90-100)	The contractor's performance exceeds standard by a substantial margin and the Project and Contract Officers can cite few areas for improvement, all of which are minor.
Very Good (80-90)	The contractor's performance exceeds standard and although there may be several areas for improvement, these are substantially offset by better performance in other areas.
Average (70-79)	The contractor's performance meets the minimum standard and areas for improvement are offset by better performance in other areas.
Marginal (60-69)	The contractor's performance is less than standard and although there are areas of good or better performance, these are substantially offset by lower rated performance in other areas.
Unacceptable (0-59)	The contractor requires constant surveillance and direction from the Project and Contract Officers to keep the entire project from slipping.